



## **COUNTY GOVERNMENT SURVEY MANAGING FOR RESULTS SECTION**

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### **PLEASE REFER QUESTIONS TO:**

Anthony Stacy  
Project Manager  
Alan K. Campbell Public Affairs Institute  
Maxwell School of Citizenship and Public Affairs  
Syracuse University  
306 Eggers Hall  
Syracuse, New York 13244-1090  
315-443-9707  
gpp@maxwell.syr.edu

## MANAGING FOR RESULTS

This section is designed to measure the extent to which your county engages in substantive strategic planning and performance measurement. This includes the systematic creation of strategic goals which link to programs; the systematic use of measures to track performance, support management improvements, and inform resource allocation decisions; and the communication of goals and progress.

### BACKGROUND TO THE GOVERNMENT PERFORMANCE PROJECT

Since 1996, under the auspices of The Pew Charitable Trusts, the Maxwell School of Citizenship & Public Affairs at Syracuse University, in partnership with *Governing* magazine, has rated the management performance of local and state governments and selected federal agencies in the United States. The project, called the Government Performance Project (GPP), is administered by the Maxwell School's Alan K. Campbell Public Affairs Institute.

The project aims to improve the understanding and practice of government management throughout the United States on the city, county, state, and federal levels. It evaluates the effectiveness of management systems by considering government performance in five categories: financial management, human resource management, information technology, capital management, and managing for results. Each category is addressed by a separate section in this survey. For each category, governments are evaluated based on this survey, interviews, and an analysis of published documents.

While the project highlights overall management capacity, it focuses on the role of leadership, the integration of the five categories, as well as the communication of government performance issues to the citizenry.

In 1998 the project studied and rated government performance of the 50 states and 15 federal agencies. The results were published in the February 1999 issues of *Governing* and *Government Executive*. The results were also widely reported by leading print, radio, and television media.

In 1999 the project evaluated government performance in the top 35 U.S. cities by revenue and of five federal agencies. These results were published in the February 2000 issue of *Governing* and the March 2000 issue of *Government Executive*.

In 2000 the GPP reevaluated the 50 states and the results were published in the February 2001 issue of *Governing*. This year the GPP will evaluate 40 county governments.

The Maxwell School will add the data collected to its clearinghouse of information and continue to expand this resource of government management practices. Ultimately, government entities will have the opportunity to learn from one another and exchange valuable information through the efforts of this project.

### GPP CONTACT PERSON

For more information on the GPP, please visit our website at: [www.maxwell.syr.edu/gpp](http://www.maxwell.syr.edu/gpp). If you have any questions regarding this survey or the GPP in general, please direct your inquiries to Anthony Stacy, at [gpp@maxwell.syr.edu](mailto:gpp@maxwell.syr.edu) or 315-443-9707.

## **MANAGING FOR RESULTS EVALUATION CRITERIA:**

1. Government engages in results-oriented strategic planning.
  - Strategic objectives are identified and provide a clear purpose.
  - Government leadership effectively communicates the strategic objectives to all employees.
  - Government plans are responsive to input from citizens and other stakeholders, including employees.
  - Department plans are coordinated with central government plans.
2. Government develops indicators and evaluative data that can measure progress toward results and accomplishments.
  - Government can ensure that data is valid and accurate.
3. Leaders and managers use results data for policymaking, management, and evaluation of progress.
4. Government clearly communicates the results of its activities to stakeholders.

## **DEFINITIONS OF TERMS USED IN THIS SURVEY:**

*Citizen advisory groups:* A committee of citizens that has been organized specifically for the purpose of providing input into the strategic planning process

*Department:* Any administrative subdivision or unit of government (also in some cases called a board, bureau, commission, department, etc.) having the primary purpose of executing some governmental functions or laws

*Needs assessment:* The identification or evaluation of priorities or resource and service deficiencies within specific programs or service populations

*Outcome measure:* A measurement of the end results of government action (for example, the improvement of standardized test scores or an improvement in air quality). Outcomes are frequently not fully controlled by government managers.

*Output measure:* A measurement of the activities or work performed by a government unit (for example, the number of days of instruction or the number of citations issued for air pollution). Outputs are typically under the control of government managers.

*Performance audit:* The use of auditing techniques to validate a performance measurement system and improve overall performance practices. Performance audit activities include the verification of reported performance data; analyses of work processes with the intention of making them more effective; an analysis of the level of implementation of preset performance goals and targets; and analyses of the quality of planning documents, including choice of goals and measures.

*Performance report:* A document that represents performance achievements through the reporting of performance data

*Strategic plan:* An effort to summarize what an organization does and why it does and includes future goals. Strategic plans may exist at a government-wide level, at a department level, or a sub-department level.

## **INSTRUCTIONS FOR COMPLETING THE SURVEY ELECTRONICALLY:**

This document is a Microsoft Word form. A form is a structured document with spaces reserved for entering information. This survey, containing check-boxes and fill-ins, can be viewed and completed in Word.

- *To check a box:* Use your mouse to move the arrow over the box you want to check and click once. To uncheck the box, click again.
- *To enter text in a fill-in box:* Move your mouse over the gray box. The arrow will change to a cursor. Click once to highlight the box. Begin typing. All fill-ins have unlimited capacity.

To enable electronic completion, the file has been password protected. Text can only be written in fill-in boxes. To provide comments on a question, include a separate page of comments with reference to the question number.

If you encounter difficulties completing the survey electronically, you may contact the project manager at (315) 443-9707 for troubleshooting assistance. The document can also be printed and filled in manually.

**PLEASE SUBMIT THE FOLLOWING DOCUMENTS AND INFORMATION WITH THE SURVEY:**

*(Note: If these materials are available online, you may simply identify the URL at which they may be found.)*

- ☒ The most recent countywide strategic plan (A)

**(A) The Maricopa County strategic plan is available via [www.maricopa.gov](http://www.maricopa.gov) under the "Information Resources" Services listing. The link text is "County Mission, Strategic Priorities, Stewardship". See also Attachment MFR-Document/Information Requested (A)-1 for a CD containing the most recent Maricopa County strategic plan and MFR-Document/Information Requested (A)-2 for printed materials.**

- ☒ Examples of department strategic plans (If available for your county, please send plans for education, health, highways, and corrections.) (B)

**(B) Every department's strategic plan is available via [www.maricopa.gov](http://www.maricopa.gov) under the "Information Resources" Services listing. The link text is "Managing for Results-Strategic Plans & Perf. Info". See also Attachment MFR-Document/Information Requested (A)-1 for a CD containing all department strategic plans and MFR-Document/Information Requested (A)-2 for printed copies of each department plan.**

- ☒ Statutes that require managing for results or performance management initiatives (for example, requirements for performance measurement reports) (C)

**(C) In addition to Maricopa County Policies B6001, B1001 and B1006 that address managing for results requirements (Attachments MFR-Document/Information Requested (C)-1, 2 and 3), many individual County departments are statutorily required to manage for results, such as:**

**A number of departments receive federal grant funding for a variety of programs. The Government Performance and Results Act that requires results driven outcome reports applicable to these programs is included as Attachment MFR-Document/Information Requested (C)-4.**

**Adult Probation -- A.R.S. 13-901.02 – Drug Treatment and Education Fund: cost savings tied to jail/prison diversions (Attachment MFR-Document/Information Requested (C)-5).**

**Community Development -- HUD requires CDBG and HOME Program participating jurisdictions to submit a five-year Consolidated Plan (CP) and a Comprehensive Annual Performance Evaluation Report (CAPER).**

**Environmental Services -- Clean Air Act Title 1 Air Pollution Prevention and Control (addresses nonattainment area requirements), Title III General, Title IV Acid Deposition Control, and Title V Permits. Associated Code of Federal Regulations for these Titles include 40 C.F.R. Part 50, 51, 52, 53, 58, 60, 61, 63, 70, 75.**

**A.R.S. 36-136 allows the department to recover the costs of issuing permits and providing services to individuals by the collection of fees. It mandates that the services and activities of the department be accounted and that costs be allocated accordingly (Attachment MFR-Documents/Information Requested (C)-6).**

**A.R.S. 49-474.03 sets specific requirements for reporting of the Voluntary Vehicle Repair and Retrofit (VVR&R) Program, including number of vehicles repaired by model year, cost-effectiveness, and tons of vehicle emissions reduced (Attachment MFR-Documents/Information Requested (C)-7).**

**Housing -- The Maricopa County Housing Department is funded completely by HUD which has established performance standards and reporting requirements within their rules and regulations.**

**Human Services -- (Workforce Development Program) The Workforce Investment Act of 1998, Title 1B, Public Law 105-220 requires performance standards for adult, youth, and dislocated worker employment and training programs. In addition, the Act requires customer satisfaction performance measures and continuous improvement initiatives (Attachment MFR-Documents/Information Requested (C)-8).**

**(Weatherization Assistance for Low-Income Persons) Energy Conservation and Production Act, Title IV, Part A, Public Law 94-385, 42 U.S.C. 6851-6872; National Energy Conservation Policy Act of 1978, Title II, Part 2, Public Law 95-619, 92 Stat. 3206; Energy Security Act of 1980, Title V, Subtitle E, Public Law 96-294; Human Services Reauthorization Act of 1984, Public Law 98-558, 98 Stat. 2888; State Energy Efficiency Programs Improvement Act of 1990, Public Law 101-440.**

**(Emergency Food and Shelter National Board Program) Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title III, Sections 301-316, Public Law 100-77, as amended.**

**(Low-Income Home Energy Assistance) Community Opportunities, Accountability and Training and Educational Services Act of 1998 (Coats Human Services Reauthorization Act of 1998), Title III, Sections 301-309.**

**(Community Services Block Grant) Community Opportunities Accountability and Training and Educational Services Act of 1998, Title II, Section 201 and Sections 671-679; Public Laws 97-35 and 103-252.**

**(Social Services Block Grant) Social Security Act, Title XX, as amended; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Jobs Training Bill, Public Law 98-8; Public Law 98-473; Medicaid and Medicare Patient and Program Act of 1987; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203; Family Support Act of 1988, Public Law 100-485; Omnibus Budget Reconciliation Act of 1993, Public Law 103-66; 42 U.S.C. 1397 et seq.**

**(Temporary Assistance for Needy Families) Social Security Act, Title IV, Part A, as amended; Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Public Law 104-193; Balanced Budget Act of 1997, Public Law 105-33.**

**(Head Start) Community Opportunities, Accountability, and Training and Educational Services Act of 1998, Title 1, Sections 101-119.**

**Maricopa County Department of Transportation (MCDOT) -- Federal air quality statutes for PM 10 (particulate matter) and CO (carbon monoxide) call for regular reports on measures MCDOT uses to reduce air pollution. These include not only road paving and dust suppression, but also intersection improvements and other congestion reducing measures. These reports are sent to the Environmental Services Department where they are compiled with reports from cities and towns, and the aggregate reported to EPA (Attachment MFR-Documents/Information Requested (C)-9).**

**Maricopa Integrated Health System (MIHS) -- Joint Commission for the Accreditation of Healthcare Organizations (JCAHO) requires that performance management initiatives be in place for accredited hospitals. JCAHO accreditation status is required to be a Medicare and Arizona Healthcare Cost Containment System (AHCCCS) provider per federal and state rules, regulations and statutes (Attachment MFR-Documents/Information Requested (C)-10).**

☒ Any documents or sources of information that show what performance measures your county uses **(D)**

**(D) In addition to the Countywide and individual departmental strategic plans provided in Attachment MFR-Documents/Information Requested (A)-1 and (A)-2, a variety of other documents delineate performance measures utilized within Maricopa County, including:**

**The Maricopa County Annual Business Strategies. To offer some insight on Maricopa County's rich history of reporting on performance measurement, we have included a copy of the FY 80/81 Annual Budget (Attachment MFR-Documents/Information Requested (D)-1. The five most recent Annual Business Strategies publications (i.e., FY 96/97 through FY 00/01) are also included as Attachments MFR-Documents/Information Requested (D)-2 through (D)-6. The**



**FY 99/00 and FY 00/01 Annual Business Strategies are also available at [www.maricopa.gov/budget/budget\\_documents/default.asp](http://www.maricopa.gov/budget/budget_documents/default.asp).**

**The Maricopa County Financial and Personnel Resources Reports -- Quarterly reports for FY 00/01 are attached (Attachments MFR-Documents/Information Requested (D)-7, 8 and 9). The annual reports for FY 99/00, FY 98/99, FY 97/98 and FY 96/97 are also included (Attachments MFR-Documents/Information Requested (D)-10, 11, 12 and 13. Quarterly reports for FY 99/00 and FY 00/01 may also be accessed via [www.maricopa.gov/budget/Management\\_Reports/default.asp](http://www.maricopa.gov/budget/Management_Reports/default.asp).**

**Performance data is also available on-line at [www.maricopa.gov](http://www.maricopa.gov) under the "Information Resources" Services listing. The link text is "Managing for Results -Strategic Plans & Perf. Info".**

**Quarterly Performance Reports are available at [www.maricopa.gov/qty\\_perf/default.asp](http://www.maricopa.gov/qty_perf/default.asp).**

**A variety of other documents address performance measures utilized within Maricopa County, including:**

**Attachment MFR-Documents/Information Requested (D)-14: Maricopa Integrated Health System Market Assessment Strategic Plan FY02**

**Attachment MFR-Documents/Information Requested (D)-15: Internal Audit Department Fiscal Year 2000 Annual Report**

**Attachment MFR-Documents/Information Requested (D)-16: Animal Care and Control Services Activity Reports**

**Attachment MFR-Documents/Information Requested (D)-17: Maricopa County HOME Consortium Consolidated Annual Performance and Evaluation Report (CAPER); Community Development's Urban County Consolidated Plan; and Maricopa County HOME Consortium Consolidated Plan**

**Attachment MFR-Documents/Information Requested (D)-18: Department of Medical Eligibility Monthly Report and Examples of Critical Indicators used by supervisors for daily management**

**Attachment MFR-Documents/Information Requested (D)-19: Recorder's Office and Elections Department Workload Indicators**

**Attachment MFR-Documents/Information Requested (D)-20: Environmental Services Monthly Workload Indicators; Complaints Received Report; and Environmental Health Division Productivity Report**

**Attachment MFR-Documents/Information Requested (D)-21: Equipment Services NAFA Report -- "Benchmarking for Quality in Public Service Fleets". This**

report is used to benchmark the downtime in the Maricopa County fleet (Reference: Page 4).

**Attachment MFR-Documents/Information Requested (D)-22: Human Services Performance Requirements for Workforce Investment Act (WIA) Programs; and Community Action Plan submitted to the Arizona Department of Economic Security.**

**Attachment MFR-Documents/Information Requested (D)-23: Indigent Representation sample reports of key performance measures.**

**Attachment MFR-Documents/Information Requested (D)-24: Maricopa County Department of Transportation FY 2000-2001 Budget and Business Plan; and Traffic Operations Annual Report 1999-2000.**

**Attachment MFR-Documents/Information Requested (D)-25: Maricopa Integrated Health System (MIHS) Performance Improvement Initiatives and Performance Standards Reports.**

**Attachment MFR-Documents/Information Requested (D)-26: Planning and Development One Stop Shop Efficiency Measures.**

**Attachment MFR-Documents/Information Requested (D)-27: Public Fiduciary Monthly Performance Measures Report**

**Attachment MFR-Documents/Information Requested (D)-28: The STAR Center Annual Report**

**Attachment MFR-Documents/Information Requested (D)-29: Superior Court of Arizona in Maricopa County Judicial Performance Review and Statistical Reports.**

**Attachment MFR-Documents/Information Requested (D)-30: Office of the Medical Examiner MFR Reports.**

**Attachment MFR-Documents/Information Requested (D)-31: Adult Probation Summary of Performance Measures**

☒ Any reports the county provides to outside sources that provide information about the county's performance (E)

**(E) All of the reports listed in "Section (D)" are provided and/or available to outside sources. Performance information is also available at [www.maricopa.gov](http://www.maricopa.gov). In addition to the materials included in "Section (D)," we are including some representative samples of additional performance information provided to outside sources:**

**Attachment MFR-Document/Information Requested (E)-1: Animal Care and Control Newsletter; past issues available online at [www.pets.maricopa.gov](http://www.pets.maricopa.gov)**

**Attachment MFR-Document/Information Requested (E)-2: County Administrative Office - Justice System Coordination Monthly and Annual Performance Reports**

**Attachment MFR-Document/Information Requested (E)-3: Criminal Justice Facilities Development Jail Expansion Program Reports**

**Attachment MFR-Document/Information Requested (E)-4: Clerk of the Superior Court Annual Report**

**Attachment MFR-Document/Information Requested (E)-5: Community Development Annual Report**

**Attachment MFR-Document/Information Requested (E)-6: County Attorney Annual Report**

**Attachment MFR-Document/Information Requested (E)-7: Environmental Services Trip Reduction Program Annual Report; and Voluntary Vehicle Repair and Retrofit Program Report**

**Attachment MFR-Document/Information Requested (E)-8: Human Resources Annual Report**

**Attachment MFR-Document/Information Requested (E)-9: Office of the Legal Defender Annual Report**

**Attachment MFR-Document/Information Requested (E)-10: Maricopa County Department of Transportation Accomplishments and Five-Year Transportation Improvement Program**

**Attachment MFR-Document/Information Requested (E)-11: Public Health's Maternal & Child Health Needs Assessment 2000**

**Attachment MFR-Document/Information Requested (E)-12: Risk Management Annual Report**

**Attachment MFR-Document/Information Requested (E)-13: Treasurer Tax Bill stuffer; Annual Collection and Delinquency Report; WELCOME; and Treasury Notes**

☒ **Examples of citizen surveys (F)**

**(F) Maricopa County utilizes a wide variety of citizen surveys. The Maricopa County Research and Reporting Department conducts a number of satisfaction surveys. Sample of these surveys are provided as Attachment MFR-Document/Information Requested (F)-1 through (F)-8 as follows:**

**(F)-1: Maricopa County Customer Satisfaction Survey General Population 2000; Customer Satisfaction Survey information is also available at [www.maricopa.gov](http://www.maricopa.gov) under the "Information Resources" Services listing. The link text is "Managing for Results-Strategic Plans & Perf. Info".**

**(F)-2: Maricopa Integrated Health System Customer Satisfaction Survey**

**(F)-3: 1999 Maricopa County Parks & Recreation Department Survey**

**(F)-4: Community Development Customer Satisfaction Survey Fiscal Year 1998-99**

**(F)-5: Maricopa County Animal Control Services Survey of Community Leaders**

**(F)-6: Long Term Care Client Satisfaction Survey – Home Base Programs February 2000**

**(F)-7: Long Term Care Client Satisfaction Survey – Nursing Home Clients February 2000**

**(F)-8: Maricopa County Long Term Care Plan Client Satisfaction Survey - 2000**

**In addition to the citizen/client surveys conducted by Research and Reporting, a variety of other citizen/constituent surveys are included as Attachment MFR-Document/Information Requested (F)-9 through (F)-24:**

**(F)-9: Adult Probation Victim Satisfaction Surveys**

**(F)-10: Animal Care and Control surveys to officials of cities and towns; and veterinarians**

**(F)-11: Clerk of the Superior Court Customer Surveys**

**(F)-12: Community Development's Internet Survey of the latest Urban County Comprehensive Plan**

**(F)-13: County Attorney Crime Victim Satisfaction Survey**

**(F)-14: Emergency Management Satisfaction Survey of cities/towns emergency managers**

**(F)-15: Environmental Services Customer Surveys**

**(F)-16: Human Services Workforce Development Surveys; Community Action Program Satisfaction Surveys; Low-Income Home Weatherization Satisfaction Surveys; Citizen Needs and Assessment Surveys; Community Services Division Customer Satisfaction Survey; Parent, Head Start staff, and Kindergarten Surveys**

**(F)-17: Maricopa County Department of Transportation Transportation Survey for 1999**

**(F)-18: Parks and Recreation Parks Visitor Study Final Report**

**(F)-19: Planning & Development Comprehensive Plan citizen survey; Citizen Satisfaction Survey 3/98-99**

**(F)-20: Public Fiduciary Quarterly Customer Surveys**

**(F)-21: Public Health Customer Satisfaction Survey instruments**

**(F)-22: Stadium District Surveys of Baseball Attendees; Elliot D. Pollack & Co. Study**

**(F)-23: Superior Court Citizen Survey**

**(F)-24: Treasurer's Office Customer Surveys**

☒ A list of web sites citizens can use to find performance and results information for your county (G)

**Performance and results information is available at [www.maricopa.gov](http://www.maricopa.gov). The public may access the "Information Resources" Services listing. The link text is "Managing for Results-Strategic Plans & Perf. Info".**

**Quarterly Performance Reports are available at [www.maricopa.gov/qty\\_perf/default.asp](http://www.maricopa.gov/qty_perf/default.asp)**

**Annual Business Strategies and other budgeting documents are available at [www.maricopa.gov/default.asp](http://www.maricopa.gov/default.asp)**

**Studies and reports prepared by the Internal Audit Department are available at [www.maricopa.gov/internal\\_audit/default.asp](http://www.maricopa.gov/internal_audit/default.asp)**

**Via the [www.maricopa.gov](http://www.maricopa.gov) site, the public may navigate to individual department's or specific service sites that also include performance and results information.**

- ☒ Copies of performance audits conducted by the county legislative body (board, council, or commission) or other internal or independent auditors **(H)**

**(H) Reporting directly to the Maricopa County Board of Supervisors, the Internal Audit Department conducts numerous performance audits of County departments. The reports are included as Attachment MFR-Document/Information Requested (H)-1 through (H)-6:**

**(H)-1: Internal Audit Report Maricopa County Constables March 2001**

**(H)-2: Internal Audit Report Maricopa Medical Center Department of Pharmacy Services August 2000**

**(H)-3: Internal Audit Report Planning & Development Department July 2000**

**(H)-4: Maricopa County Internal Audit Department - Equipment Services Department March 2000**

**(H)-5: Maricopa County Internal Audit Department - Human Resources Payroll Application Audit Report June 2000**

**(H)-6: Maricopa County Internal Audit Department - Financial Condition Report Fiscal Year 1998-1999**

**Additional audit information and reports are available at  
[www.maricopa.gov/internal\\_audit/reports.asp](http://www.maricopa.gov/internal_audit/reports.asp)**

**Several departments identified performance audits conducted by other independent auditors. These are included as Attachment MFR-Document/Information Requested (H)-7 through (H)-11:**

**(H)-7: Animal Care and Control DMG Cost of Services Study**

**(H)-8: Environmental Services -- Arizona Department of Environmental Quality Delegation Agreement Performance Evaluation Report; and Internal Audit Department Review of IGA with RPTA**

**(H)-9: Detailed Performance Audit of Maricopa County Department of Transportation (September 10, 1992)**

**(H)-10: Maricopa County Adult Probation Department's Operational Review (1998)**

**(H)-11: Clerk of the Superior Court - State of Arizona Office of the Auditor General Performance Audit of the Division of Child Support Enforcement**

**PLEASE ANSWER THE FOLLOWING QUESTIONS ABOUT MANAGING FOR RESULTS:**

1. Does your county have a formal managing for results system?

☐ No    ☒ Yes

If so, please discuss how this system has changed in the past few years.

For at least 10 years, Maricopa County has had a formal strategic planning process at a Countywide level and within individual departments. Countywide strategic planning has been occurring every two years since 1991. In addition to the strategic planning process, a business plan has been completed on an annual basis since 1994. Included in the business plan are strategic and tactical approaches to achieving countywide goals, along with our long-range financial forecasts.

Individual departments have been responsible for completing departmental strategic plans for over 10 years. Departments have the responsibility for ensuring that their plans are accurate and updated as needed. Elements of departmental strategic plans were included in the annual budget document. In addition, performance indicators have been included annually in the budget process for over 20 years. Although strategic planning was occurring at the departmental level, full standardization and alignment was not achieved until recently.

Over the past several years, a Countywide initiative has been undertaken to standardize and integrate the planning, measurement, budgeting, reporting, and evaluation components of the Managing for Results system. The Managing for Results initiative has resulted in a more focused approach and all departments, elected officials, and the judicial branch have enthusiastically participated in this process. The write-up below indicates the level of commitment the County has made to this integrated initiative. It is graphically displayed in Attachment MFR-1-1.

Maricopa County Board of Supervisors adopted the "Managing for Results," "Budgeting for Results," and "Budgeting for Results -- Accountability" policies (see Attachments MFR-Document/Information Requested (C)-1, 2 and 3).

All elected officials and department directors received an overview and training on the key elements of Maricopa County's Managing for Results management system (Attachment MFR-1-2).

Each department identified a strategic planning coordinator to serve as the facilitator and focal point for departmental strategic planning. Strategic coordinators participated in rigorous training sessions to enable the facilitation of the strategic planning process. See Attachment MFR-1-3 for the training materials and Resource Guide. The Resource Guide is also available at [www.maricopa.gov/budget/mfr/pfr/default.asp](http://www.maricopa.gov/budget/mfr/pfr/default.asp).

Central service departments -- Office of Management and Budget, Finance, Human Resources, Internal Audit, Information Technology, and Materials Management -- participated in specialized Managing for Results training. The training assisted these

departments in identifying and modifying Maricopa County business practices to align with Managing for Results principles.

Each department prepared a strategic plan utilizing the same processes and format. The compilation of each department's plan was conducted via a web-based application.

A four-phase corporate level review process was conducted:

1. Technical Review -- Using a uniform checklist, Office of Management and Budget (OMB) analysts conducted a review of each submission to ensure its completeness and that the most basic plan components were included. (See Attachment MFR-1-4 for the Technical Review Checklist.)
2. Structural Review -- Using standard criteria as set forth in the Managing for Results Resource Guide, OMB analysts performed in-depth reviews of each plan element; i.e., Issue Statements, Strategic Goals, Mission Statements, Programs, Activities, Services, Performance Measures. (See Attachment MFR-1-5 for the Structural Review Guidelines.)
3. Content Review -- Using a short list of criteria, OMB analysts reviewed each plan at a holistic level to determine if the Activities and Programs delineated would facilitate the department in reaching its strategic goals. The review yielded written questions and comments that provided the basis for discussion during the fourth phase. (See Attachment MFR-1-6 for the Content Review Criteria.)
4. Corporate Review Committee Meeting Phase -- A Strategic Plan Corporate Review Committee, comprised of the Deputy County Administrator, Budget Manager, Human Resources Director, Chief Financial Officer, a representative from the Internal Audit Department, and County business representatives from Court Agencies, Criminal Justice, Health, Community Services, Public Works, Administration, and specialized Elected Offices, met with each department to discuss each departmental plan. These departmental discussions also provided a forum for identifying issues requiring elevation to the Board of Supervisors in formulating the overall Maricopa County strategic direction. (See Attachment MFR-1-7 for the agenda utilized for each meeting.)

The Maricopa County Board of Supervisors set corporate strategic priorities. The Board's planning process began with a review of issues derived from the Corporate Review process which provided a broad scope of issues facing all lines of business in Maricopa County. A new mission statement was adopted and strategic priorities for the next two to five years were developed. (See Attachment MFR-1-8 for the Board's strategic planning materials.)

Managing for Results was front and center in the FY 01/02 budgeting process. The budget system provides financial and performance information to help decision makers make good business decisions that achieve results. Funding requests were evaluated based on the Board of Supervisor's strategic direction and focused on ensuring that requests aligned with the department's own strategic plan. (See Attachment MFR-1-9



for the "Budgeting for Results" section of the "Managing for Results" manual utilized by County departments in preparing and submitting their FY 2001-2002 budgets. This resource is also available at [www.maricopa.gov/budget/mfr/BFR/default.asp](http://www.maricopa.gov/budget/mfr/BFR/default.asp).)

The financial cost accounting system, that parallels the Programs, Activities, and Services (PAS) delineated within each departmental strategic plan, is currently being finalized and will be operational July 1, 2001. Departmental training on the PAS cost accounting system is scheduled for the week of June 25, 2001.

All departments provide quarterly reports via the web-based application to apprise County leaders and the public of their progress in meeting their strategic goals and to provide performance measurement data.

The employee performance management system is designed to ensure direct alignment of each employee's job responsibilities and performance expectations to departmental strategic plans, strategic goals, and performance measures.

2. Please answer the following questions about strategic planning:

a. Does your county have a formal countywide strategic plan?

☐ No      ☒ Yes (If no, skip to question 3.)

b. If so, how long has a countywide plan been in place?

☐ 1 year or less  
☐ 2 to 3 years  
☐ 4 to 5 years  
☐ 6 to 9 years  
☒ 10 or more years

c. How often is the countywide plan revised?

☐ Every year  
☒ Every 2 years  
☐ Every 3 to 5 years

- ☐ Every 6 to 10 years
- ☐ Less frequently than every 10 years

3. If your county does *not* have a formal strategic plan, does it have a set of formally established strategic goals?

- ☐ No    ☐ Yes

If so, please describe how these goals are set and communicated.

Not applicable; Maricopa County has a strategic plan.

4. Please answer the following questions about strategic planning in county departments:

a. Do individual departments in your county have formal strategic plans?

- ☐ No    ☒ Yes

b. Are these plans publicly available?

- ☐ No    ☒ Yes

c. Do department plans have a common format?

- ☐ No    ☒ Yes

d. Does a central county office provide guidance to departments in the preparation of their plans?

- ☐ No    ☒ Yes (*If so, please identify this office:*

Office of Management and Budget (OMB). OMB staff served as facilitators for departments during their strategic planning sessions. Each OMB Analyst also provided guidance to assigned departments throughout the four-phase review process and identified issues requiring elevation to the Board of Supervisors for their strategic planning session in January 2001. Staff of OMB compiled and delineated these issues and coordinated the Board of Supervisors' planning session agenda utilizing the facilitation services of Weidner Consulting.)

e. Approximately what percentage of your county departments regularly prepare plans?

☐ 0-25%      ☐ 26-50%      ☐ 51-75%      ☒ 76-100%

f. How often do individual departments revise their plans?

☒ Every year  
☐ Every 2 years  
☐ Every 3 to 5 years  
☐ Every 6 to 10 years  
☐ Less frequently than every 10 years

5. Please indicate how *involved* each of the following actors is in your county's strategic planning process (i.e. at the countywide level, not at the department level):

	Not Involved	Very Limited Involvement	Limited Involvement	Some Involvement	Active Involvement	Very Active Involvement
a. County legislative body	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b. Legislative committees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Chief elected official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Chief administrative officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e. The budget office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f. Central county offices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
g. County departments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Local governments	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Interest groups	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Citizen advisory groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Individual citizens	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l. Independent auditors	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
m. Consultants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
n. Contractors	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
o. State government	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Please answer the following questions regarding the role of managers in managing for results in your county.

a. Do your county's managers receive training on strategic planning and performance measurement?

☐ No      ☒ Yes

If so, please describe this training.

Managers receive extensive training in strategic planning and performance measurement.

Strategic Coordinator Training – 134 managers and senior employees attended training in Managing for Results between June and August 2000. The participants in this program received a comprehensive "Resource Guide" for strategic planning. The training and Guide provided the resources and tools needed to develop high quality strategic plans. The training provided information and timelines on Maricopa County's initiatives to integrate performance-based budgeting and a methodology for creating alignment of the people, resources and systems within each County department. (See Attachment MFR-1-3 for the training materials/Resource Guide and Attachment MFR-6.a.-1 for the training agenda.)

Managing for Results Integration -- Consultants were brought in to several central service departments to provide training/consultation on the integration of Managing for Results into the systems that support Maricopa County's business practices. Internal Audit, Finance, Management and Budget, Materials Management, Human Resources, and Information Technology staff participated in these specialized training sessions.

Strategic Planning – 77 managers completed this training between May and November 1999. The class provided a model for strategic planning that could be adapted to any department or work unit. Participants learned various forms of organizational planning, methods to align all planning activities, how to utilize components of the strategic planning model, and how to move from planning to implementation. This course was replaced with the Strategic Coordinator training. The historical course description supplied from the online Employee Course Catalog is included as Attachment MFR-6.a.-2.

Performance Measures – 136 managers attended training in Countywide and department sponsored courses between October 1999 and February 2001. This class introduces the typical family of Performance Measures identified by the Government Accounting Standards Board as being essential in government accountability. Participants learn how to identify and develop Performance Measures including outcomes, as well as the more familiar set that includes inputs, outputs and efficiency. Participants learn the importance of Performance Measures,

the definition and utility of each type of measure, and how to measure the benefits experienced by customers (outcomes/results). The class materials were revised in January 2001 to more closely parallel the performance measure terminology utilized within Maricopa County's Managing for Results initiative. Participant manuals are included as Attachments MFR-6.a.-3 and 4.

Performance Management courses have been offered to supervisors (and employees) since 1996. Supervisors learn the concepts of aligning and managing employee performance to achieve organizational goals. The class offers tools and knowledge to assist supervisors in collaborating with employees to effectively manage performance. The process uses a performance management cycle that starts with the plan, and goes through monitoring, coaching, and evaluation. The performance plan is developed using an alignment worksheet to set employee goals that are directly tied to the department's strategic plan. Individual performance measures are developed that link back to the performance measures delineated in the department's strategic plan. These courses are offered through the Employee Course Catalog.

Management Team Meetings and Retreats – Throughout the year, the County Administrative Officer conducts regularly scheduled Management Team Meetings and full-day retreats. Typically, 60-100 managers participate. Listed are some key training sessions and/or seminars that have been held on strategic planning and/or performance measurement:

Attachment MFR-6.a.-5 -- Managing for Results - Corporate Review Reports and Where We Go Next (April 12, 2001). Focused on a historical timeline of Managing for Results in Maricopa County and an overview of the program integration.

Attachment MFR-1-2 -- Managing for Results Update -- Overview of Managing for Results in Maricopa County (July 25, 2000).

Attachment MFR-6.a.-6 -- Management Team Retreat -- Using Key Economic and Performance Indicators to Manage for Results (May 5, 2000).

Attachment MFR-6.a.-7 -- Management Team Meeting (June 10, 1999). Overview of County Administrative Officer's Performance Plan and Measures.

Attachment MFR-6.a.-8 -- Performance-based Accountability: Your Leadership Role (February 11, 1999). Dr. Barry Bales, Lyndon B. Johnson School of Public Affairs, University of Texas at Austin, led a management workshop that included Performance-based Budgeting, criteria of good performance measures, measuring and reporting outcomes, and strategic planning.

Attachment MFR-6.a.-9 -- Management Team Retreat (November 13, 1997) - - Managing for Results: The Key for More Responsive Government. Managers reviewed the University of Vermont video series.

Maricopa County Management Institute (MCMI) is an academy offered for managers and supervisors of Maricopa County.

The Supervisor School has graduated 787 supervisors who learn about all aspects of Maricopa County, including the Mission and Strategic Goals. The program is comprehensive in that it provides a full view of responsibilities of a supervisor in helping to align operations with the strategic direction of the County. The 56-hour course is available for university credits to apply to an undergraduate degree. The participant manual is included as Attachment MFR-6.a.-10.

The Manager School provides a values-based program to assist managers in leading constituents (employees) effectively to meet the strategic goals of the organization. There have been 216 managers who have graduated from the three and one-half day course. Tactical aspects of the program include guiding and developing employees through the Performance Management Process. The class instructors are senior County executives, the County Administrative Officer, Deputy County Administrator, and all Chief Officers. They discuss strategic direction and values during this course. The participant manual is included as Attachment MFR-6.a.-11.

MCMI Alumni Retreats – Beginning in 1998, graduates of the Supervisor and Management Schools have been invited to annual retreats to update knowledge and skills. In August 1999, 120 graduates of MCMI attended a daylong retreat that provided historical perspectives of the County, along with trends and projections for the future. A workshop on “Running a Tight Ship: Planning the Course and Measuring the Progress of Workgroups” was presented to supervisors and managers to learn about Strategic Planning, Performance Measures, Process Improvement, and Performance Management. The program brochure is included as Attachment MFR-6.a.-12.

In September 2000, over 200 Supervisor and Manager School alumni attended an event that focused on Managing for Results, Innovation, Planning Processes, Project Management, and other relevant management topics. The Maricopa County Managing for Results System was presented as a highly integrated management system designed to support good management practices. The participants learned that Strategic Plans derived from this process provide the right information to County management to make sound business decisions; provide information to "tell our story" to the general public; and align every employee to organizational results. The presentation was followed by a Managing For Results Challenge. In an activity called “Survivor”, audience members participated in a lively game show activity that reinforced concepts learned in the session. Program brochures are included as Attachment MFR-6.a.-13.

- b. By what means are your county's strategic goals communicated to managers?  
(Please check all that apply.)

- ☒ Meetings describing strategic goals
- ☒ Providing written strategic plans to employees
- ☒ Through the county website
- ☒ Through the individual agency websites
- ☒ State of the county address (or similar public presentation)
- ☒ Budget documents
- ☒ Budget hearings
- ☒ Employee newsletters
- ☒ Managers are responsible for communicating goals to employees
- ☒ Special task force communicates the strategic goals to employees
- ☒ Alternative forms of informal communication
- ☒ Other (Please specify:

3rd Avenue Pedestrian Bridge bulletin board (Attachment MFR-6.b.-1)

Strategic Coordinators' Newsletter (Attachment MFR-6.b.-2)

Management Team meetings and retreats

New Employee Orientation

Supervisor School

Manager School

Maricopa County Intranet (EBC-Electronic Business Center)

Individual managers' performance planning materials

Budget preparation documents

Government access cable TV airing of Board of Supervisors' meetings

Managers' Forum (Attachment MFR-6.b.-3)

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- c. To what extent are managers' performance appraisals linked to the accomplishment of measurable outputs and outcomes that are aligned with the county's, or their department's, strategic planning processes? (Check the answer that best represents your county.)

- ☒ The accomplishment of measurable outputs and outcomes is a very important part of the individual appraisal process for managers.
- ☐ The accomplishment of measurable outputs and outcomes is one consideration in the individual appraisal process for managers.

- ☐ The accomplishment of measurable outputs and outcomes is a minor consideration in the individual appraisal process for managers.
- ☐ The accomplishment of measurable outputs and outcomes is not a consideration in the individual appraisal process for managers.

d. Is manager performance with regard to county or department strategic goals reflected in pay?

- ☐ No      ☒ Yes

e. If manager performance with regard to county or department strategic goals is reflected in pay, please describe how pay for performance works for managers in your county, and how it supports your county's strategic plan and goals.

Since 1995, Maricopa County has tied performance to our managers' salaries. That year, Maricopa County began a management incentive plan that awarded up to 5% of a department director's annual salary, based on results achieved. There were two components to the management incentive. First, achieving a 5% or more savings against the department expenditure budget. Second, achievement of a director's performance goals. Performance goals were set to reflect the strategic and business plan objectives. These two criteria set the approach and ensured that both financial and performance goals were reached. This plan continued through 1997.

After 1997, Maricopa County directors joined a single Countywide Performance Incentive Awards (PIA) plan (Attachment MFR-7.e.-1 -- "Share the Savings 2001 – Performance Incentives Program"). Performance incentive awards are an annual event in the County. In June (the last month of the fiscal year) employees and managers who have a satisfactory performance rating or higher, are eligible for a one-time financial award. Awards for department directors and above, relate directly to goal achievements, based on their annual performance plan. Managers below the director level are rewarded based on the incentive plan adopted by the entire department. These plans reflect outcome-based achievements that tie directly to strategic and business goals. Individuals who have higher performance ratings are eligible for higher awards, per the Human Resource PIA policy approved by the Board of Supervisors. A department director or manager is only eligible for a PIA if his/her department has personnel savings, has savings in the overall budget, and is forecasted to return one-half of the budget savings back to the taxpayers via an increase to the year-end fund balance which is then re-programmed for other purposes. If the savings do not occur as forecasted, the department is ineligible in the next fiscal year, thereby ensuring accountability through the incentive plan.



In addition to our Performance Incentive Award program, annual salary adjustments are given to managers in Maricopa County based on performance. Again, annual performance plans for directors and above relate directly to their strategic and business goals, and the achievement of these goals. Chief officers' and directors' performance plans are directly related to the County Administrative Officer's performance plan that is set by the Board of Supervisors. Salary advancements in Maricopa County are given for performance, market and equity reasons.

7. Please answer the following questions regarding the role of employees in managing for results in your county. (Note: For this question, "employees" does *not* include managers.)

a. Do county employees contribute to your county's strategic planning process or their department's strategic planning process in any of the following ways? (*Please check all that apply.*)

- ☒ Providing feedback through formal employee surveys
- ☒ Participating in strategic planning meetings
- ☒ Participating in focus groups
- ☒ Creating performance measures
- ☐ Writing components of the countywide strategic plan
- ☒ Writing components of the department strategic plans
- ☒ Other (*Please specify:*

(a) Employees also contribute to their department's strategic planning process through their collaborative participation in the establishment of their individual performance plans and the subsequent evaluation process.

(b) Data reported by employees through the E-Jamis timecard system contributes to departmental strategic planning, performance measurement, and budgeting.

b. By what means are your county's strategic goals communicated to employees? (*Please check all that apply.*)

- ☒ Meetings describing strategic goals
- ☒ Providing written strategic plans to employees
- ☒ Through the county website
- ☒ Through the individual agency websites
- ☒ State of the county address (or similar public presentation)
- ☒ Budget documents

- ☒ Budget hearings
- ☒ Employee newsletters
- ☒ Managers are responsible for communicating goals to employees
- ☒ Special task force communicates the strategic goals to employees
- ☒ Alternative forms of informal communication
- ☒ Other (*Please specify:*
  - (a) 3rd Avenue Pedestrian Bridge bulletin board (Attachment MFR-7.b.-1)
  - (b) New Employee Orientation (Attachment MFR-7.b.-2 is a sample from a departmental NEO.)
  - (c) Maricopa County intranet (Electronic Business Center (EBC))
  - (d) Strategic Coordinators' Newsletter (Attachment MFR-7.b.-3)
  - (e) Various training classes offered through the Employee Course Catalog
  - (f) Departmental e-mail (Attachment MFR-7.b.-4)
  - (g) CD with video presentation to department employees (Attachment MFR-7.b.-5)
  - (h) Government access cable TV airing of Board of Supervisors' meetings
  - (i) Individual employee performance plans
  - (j) Written handouts distributed to employees (Attachment MFR-7.b.-6)
  - (k) Posted on department bulletin boards

NOTE: Sample employee newsletters are included as Attachments MFR-7.b.-7 and MFR-7.b.-8

- c. Do your county's employees receive training on strategic planning and performance measurement?

☐ No      ☒ Yes

If so, please describe this training.

Performance Measures and Strategic Planning classes described in MFR Question 6.a. are available to all employees. A number of non-supervisory/managerial employees attended the comprehensive Strategic Coordinator training.

The following additional classes on strategic planning and performance measurement are offered through the Employee Course Catalog:

Data Gathering courses have been offered to employees since October 1999. Participants learn how to put the request for data in its structural context, develop study objectives, identify customers, find and use appropriate data, and design survey questions.

Performance Management courses have been offered to all employees since February 1999 with over 1,500 attendees. Participants learn that Performance Management is the process of managing individual performance to achieve organizational goals. The process uses a performance management cycle that starts with the plan and progresses through monitoring, coaching, and evaluation. The performance plan is developed using an alignment worksheet to set employee goals that are directly tied to the department's strategic plan. Individual performance measures are developed that directly link to the performance measures delineated within the department's strategic plan. The class offers tools and knowledge to assist employees in collaborating with supervisors in managing their own performance. Attachment MFR-7.c.-1 is a copy of the Participant's Guide for the workshop.

The Quality Tools Certificate includes a series of courses in problem solving, use of measurement tools, analyzing work processes, and obtaining documentation and measures through data gathering. Attachment MFR-7.c.-2 provides the Catalog description of this certificate series.

- d. To what extent are employees' performance appraisals linked to the accomplishment of measurable outputs and outcomes that are aligned with the county's, or their department's, strategic planning processes? (*Check the answer that best represents your county.*)
- ☒ The accomplishment of measurable outputs and outcomes is a very important part of the individual appraisal process for employees.
- ☐ The accomplishment of measurable outputs and outcomes is one consideration in the individual appraisal process for employees.
- ☐ The accomplishment of measurable outputs and outcomes is a minor consideration in the individual appraisal process for employees.
- ☐ The accomplishment of measurable outputs and outcomes is not a consideration in the individual appraisal process for employees.
- e. In your county, is employee performance with respect to county or department strategic goals reflected in pay?
- ☐ No      ☒ Yes

If so, please describe how pay for performance works for employees in your county, and how it supports your county's strategic plan and goals.

Maricopa County links increases in compensation to performance. Employees are not eligible for any type of salary increase if their performance is not rated as satisfactory or above. For the past five years, the County has had in place an incentive program (Attachment MFR-7.e.-1 -- "Share the Savings 2001 – Performance Incentives Program") that allows departments to recognize employees who have consistently met or exceeded their performance goals, and to encourage continued high performance levels. Department eligibility requirements include the development of departmental strategic plans and use of the Managing for Results template. Departmental award implementation strategies are tied to their Managing for Results strategic plans. Examples of departmental implementation strategies are included as Attachments MFR-7.e.-2 and MFR-7.e.-3.

Salary advancements for merit have been part of the Compensation Plan since 1997. All salary advancement recommendations require a performance evaluation completed within the preceding twelve months that reflects satisfactory or higher performance rating.

Contributions to the achievement of departmental strategic goals and performance measures are the cornerstones of Maricopa County's employee performance management and evaluation system. The Managing for Results process further strengthens the alignment from the County's strategic goals through the department's strategic goals. This alignment, in turn, directly links to the performance expectations of each individual employee. Performance increases will continue to be based on the employee's contributions to the department's success in furthering its strategic goals, as demonstrated through performance measures that can be linked directly to those goals.

8. Please answer the following questions about the role of citizens in managing for results:

- a. To what extent does your county obtain feedback from citizens using each of the following methods?

	Not Used	Very Limited Feedback	Limited Feedback	Some Feedback	Active Feedback	Very Active Feedback
Random telephone surveys	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
General written surveys mailed to all citizens of the county	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General written surveys mailed to a sample of citizens	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service-specific surveys mailed to a sample of citizens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Face-to-face interaction between citizens and representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
800 numbers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Web feedback or email	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Town hall type meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Public hearings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Citizen advisory groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other ( <i>Please specify:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>Service specific telephone surveys (Active Feedback)</u>						
<u>Face-to-face surveys (Very Limited Feedback)</u>						
<u>Point-of Service questionnaires (Limited Feedback)</u>						
<u>Public meetings (Active Feedback) -- See Attachments MFR-8.a.-1 and 8.a.-2 for</u>						

sample notices. \_\_\_\_\_  
 \_\_\_\_\_)

- b. How large an impact does the feedback your county obtains from each of the following methods have on decisions made in your county?

	Not Used	Very Limited Impact	Limited Impact	Moderate Impact	Large Impact	Very Large Impact
Random telephone surveys	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
General written surveys mailed to all citizens	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General written surveys mailed to a sample of citizens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Service-specific surveys mailed to a sample of citizens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Face-to-face interaction between citizens and representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
800 numbers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Web feedback or email	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Town hall type meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Public hearings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Citizen advisory groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Other (Please specify: ☐ ☐ ☐ ☐ ☐ ☐

Service Specific telephone surveys (Very Large Impact)

Face-to-face surveys (Large Impact)

Point-of-Service questionnaires (Large Impact)

Public Meetings (Large Impact)  
\_\_\_\_\_  
\_\_\_\_\_)

- c. If your county uses citizen advisory groups, please identify them and briefly describe their role in the goal-setting process.

Please see Attachment MFR-8.c.-1 for a listing of Maricopa County Boards and Commissions.

Generally, the members of these Boards and Commissions are direct participants in and/or heavily influence the goal-setting process. The following illustrative examples are offered:

1) Citizens' Jail Oversight Committee (CJOC)-- The Committee's charter is to review all requests for projects to ensure that they are consistent with the Criminal Justice System Master Plan and within the scope of the project represented to the public. In November 1998, voters approved two propositions relating to County jails, the purposes of which included: To finance construction of new adult and juvenile jail facilities; maintain and operate adult and juvenile jail facilities; and to fund the following for the purpose of reducing the expense of adult and juvenile facilities: (a) Implementing an Integrated Criminal Justice Information System; (b) Developing regional centers for courts not of record; (c) Implementing differentiated case management for criminal cases in Superior Court; (d) Consolidating criminal divisions of the Superior Court in Maricopa County to a common location; (e) Expanding pretrial release supervision; (f) Implementing electronic monitoring of preadjudicated defendants; (g) Enhancing substance abuse evaluation and programming; (h) Increasing drug court admissions to include preadjudicated defendants and expanding drug court jurisdiction; and (i) Using community based juvenile detention and post adjudication programs.

In short, the job of the CJOC is to ensure that Maricopa County produces on every promise it made to the public. Its membership consists of appointments by each member of the Maricopa County Board of Supervisors, the Sheriff, the County Attorney, the Presiding Judge of the Superior Court, and the County Administrator's

Office. The oversight and resulting recommendations from the CJOC were used to determine departmental and county strategic planning and goal setting.

2) Parks and Recreation Commission -- The Maricopa County Parks and Recreation Commission participates in the strategic planning process and lobbies for Maricopa County's interests and the achievement of departmental goals.

3) Flood Control Advisory Board -- The Flood Control Advisory Board serves the Flood Control District of Maricopa County in both an advisory and approval capacity. Although the Flood Control Advisory Board does not have approval authority over dollars, it does recommend approval or disapproval of goals, capital projects, budgets, etc. to the Board of Directors.

4) Community Development Advisory Committee -- One of the functions of the Community Development Advisory Committee is to provide review and recommendations to the Maricopa County Board of Supervisors regarding both housing and non-housing goals as presented in the Urban County Comprehensive Plan.

5) Citizens Advisory Audit Committee -- The Citizen's Audit Advisory Committee meets monthly and provides feedback on all of Maricopa County's audit activities, including strategic documents, such as the annual audit plan, and the five-year audit schedule.

d. If your county uses citizen surveys, what information do these instruments request from citizens? *(Please check all that apply.)*

- ☒ Their assessment of county government performance in general
- ☒ Their assessment of the performance of specific departments
- ☒ Their assessment of the quality of specific services
- ☒ Their policy preferences
- ☐ Their political preferences
- ☒ Demographic information (such as income status, family size, etc.)
- ☒ Other *(Please specify: \_*

Location and/or convenience of service sites



9. Please answer the following questions about performance management in your county:

- a. To what extent are the following types of performance *measures* identified or reported in each of the following documents? (*Please check all that apply for each type of document, and send us copies of these documents.*)

	Baseline data	Input measures	Output measures	Outcome measures	Performance targets
County budget	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Countywide strategic plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
County performance reports or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Department strategic plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Department performance reports or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other documents ( <i>Please specify:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Staff of the Maxwell School recommended that we include a description of the family of measures utilized by Maricopa County. Where possible the definition is included within the response to specific questions; i.e., 9.b., 9.c., 9.d., 9.g. An overview of Maricopa County's performance measures and their definitions are also included as Attachment MFR-9.a.-1.

INFORMATIONAL NOTE: Each of the documents requested is included as an attachment in response to previous questions posed in the survey. The materials are available as follows:

County budget -- Attachment MFR-Document/Information Requested (D)-6. The "FY00/01 Annual Business

Strategies" is also available at  
www.maricopa.gov/budget/budget\_documents/default.asp.

Countywide strategic plan -- Attachments  
MFR-Document/Information Requested  
(A)-1 and (A)-2 or via www.maricopa.gov  
under the "Information Resources"  
Services listing.

County performance reports or audits --  
Attachment MFR-Document/Information  
Requested (H)-1 through (H)-6 include  
performance audits conducted by the  
Internal Audit Department on behalf of the  
Maricopa County Board of Supervisors.  
Additional audit information and reports  
are available at  
www.maricopa.gov/internal\_audit/reports.  
asp.

Department strategic plans -- Attachments  
MFR-Document/Information Requested  
(A)-1 and (A)-2 or via www.maricopa.gov  
under the "Information Resources"  
Services listing.

Department performance reports or audits  
--In addition to performance reports/audits  
conducted by the Internal Audit  
Department, departmental performance  
audits conducted by other independent  
auditors are included as Attachments  
MFR-Document/Information Requested  
(H)-7 through (H)-11. A listing of web  
sites the public can use to find  
performance data reports is provided in  
response to (G) of the  
Document/Information Section of the  
survey.)

- b. Please describe how much emphasis your county puts on the use of *output*-based measures.

Maricopa County utilizes a family of measures involving four categories of performance measures for each Activity identified within each Program of every department: Results, Outputs, Demand, and Efficiency. Conceptually, these families of measures allow us to describe the following for each Activity: "We will produce these results for this customer by producing this output(s) against this demand for those outputs (Services), at this cost (Efficiency)."

Attachment MFR-9.a.-1 offers a description of Maricopa County's family of measures (Result, Output, Demand, and Efficiency), as well as the following terms: Baseline data, Input measures; Strategic Goals (Performance targets); Service; Activity; and Program.

We define "Output" as the amount of Service (deliverable the customer receives) provided or number of units produced or processed. Output-based measures are one of four types of measures delineated for each Activity that comprises all Programs within every departmental strategic plan. Output-based measures are among the four measures reported quarterly and are included in a variety of internal and external reporting documents prepared and distributed by departments. Representative samples of these reports are included as attachments in the "Documents and Information Requested" section at the beginning of the Managing for Results Survey.

- c. Please describe how much emphasis your county puts on the use of *outcome*-based measures.

Our outcome-based measures are called Results Measures. Please see the definitions provided in Attachment MFR-9.a.-1 for Maricopa County's family of measures. Our "Result" measure captures the impact or benefit that customers experience because they received the County's Services. Result measures are expressed as a percent or rate.

Outcome-based (Result) measures are one of four types of measures delineated for each Activity that comprises all Programs within every departmental strategic plan. Outcome-based (Result) measures are among the four measures reported quarterly and are included in a variety of internal and external reporting documents prepared and distributed by departments. Representative samples of these reports are included as attachments in the "Documents and Information Requested" section at the beginning of the Managing for Results Survey.

Review and analysis of key performance measures are integral within our Budgeting for Results system as described in Attachment MFR-1-9.

- d. To what extent does your county collect and use baseline data? If you use such data, please describe how complete it is.

As reflected in Attachment MFR-9.a.-1, "baseline data" is defined as an established level of previous or current performance that could be used to set improvement goals and provide a comparison for assessing future progress.

Two years of baseline data are requested for each performance measure in every Activity for each Program in all departments. Data is included in strategic planning documents, quarterly reports, budget documents, and in a variety of internal and external reporting documents prepared and distributed by departments.

Representative samples of these reports are included as attachments in the "Documents and Information Requested" section at the beginning of the Managing for Results Survey.

- e. Does your county disaggregate its performance data to permit smaller geographic, demographic, or functional units to compare themselves with other similar units?

☐ No      ☒ Yes

If so, please provide a few examples of how this is done.

Many of the sample documents provided in sections (D) and (E) of the "Documents/Information Requested" of this survey also include a variety of disaggregated performance data. A few additional samples are offered, including:

- 1) Maricopa County Department of Transportation -- Attachment MFR-9.e.-1 includes a variety of reports that reflect disaggregated performance data, as well as sample benchmarking data with other counties.
- 2) Maricopa County Parks and Recreation -- Attachment MFR-9.e.-2 includes various reports relating to the performance of park police, visitor attendance, and volunteer hours based on individual parks.
- 3) Attachment MFR-9.e.-3 provides a sample from the Superior Court in Maricopa County in which case filings, trials, initial appearances, and related court performance data are disaggregated by type of case.

In addition to the examples of disaggregated performance data provided by individual departments, each departmental strategic plan includes an Administrative Services Program that addresses core Activities such as human resources,

budgeting, financial services, procurement, etc. The Program's activities and corresponding performance measures are standardized across the entire County through each department's strategic plan. Through quarterly web-based reporting, the data can be viewed on an individual department basis and has the capacity to be consolidated to obtain Countywide results, outputs, demands and efficiencies. Individual departments also have the capacity to benchmark against other County departments and agencies.

- f. Does your county set specific performance *targets*?

☐ No      ☒ Yes

- g. If your county sets specific performance targets, please explain how these are set, by whom they are set, and where they are documented.

As reflected in Attachment MFR-9.a.-1, performance targets translate to the Strategic Goals reflected within departments' strategic plans. Performance targets (strategic goals) are set by each department in response to issues that arise from the environmental assessment conducted as part of the strategic planning process. The Resource Guide provided in Attachment MFR-1-3 fully describes the methodology utilized by Maricopa County departments/agencies to establish performance targets/strategic goals (pages 32 - 36).

Performance targets (strategic goals) are documented in every departmental strategic plan and undergo the four-phase review process (described in response to Question #1) that culminates in a meeting with a corporate-level review committee. This review process ensures alignment between departmental performance targets and the Maricopa County Board of Supervisors' strategic priorities.

- h. If your county sets specific performance targets, please explain how actual results are compared to them and what happens if the targets are not met.

Progress toward meeting performance targets (strategic goals) is included in quarterly reports submitted to the County Administrative Officer (see [www.maricopa.gov/qty\\_perf/default.asp](http://www.maricopa.gov/qty_perf/default.asp)), Deputy County Administrator or Chief Officer. The County Administrative Officer (CAO), Deputy County Administrator (DCA) and Chief Officers have regularly scheduled meetings with their direct reports; i.e., department directors and management staff. Progress toward performance targets/strategic goals is frequently discussed in these forums.

At least annually, the CAO, DCA and Chief Officers conduct formal performance evaluation discussions with each of their direct reports. Attainment of performance targets is discussed and documented. Unmet targets are reviewed, analyzed, and action plans are developed for the upcoming evaluation cycle.

- i. Does your county produce regular countywide performance *reports*?

☐ No ☒ Yes

- j. If so, how frequently?

☐ Monthly  
☒ Quarterly  
☐ Semi-annually  
☐ Annually  
☐ Biannually  
☐ Less frequently than every 2 years

- k. Are the contents of these reports discussed between the county's legislative body and the department head?

☐ No ☒ Yes

- l. How are performance results communicated to citizens? (*Please check all that apply.*)

☒ Published documents available upon request  
☐ Published documents automatically mailed to all citizens

☒ Published documents automatically mailed to citizen groups

☒ On display at county offices

☒ Posted on county websites

☒ Available at public libraries

☒ Distributed to the news media

☒ Reported at public meetings

☒ Other (*Please specify:*

Distributed to citizen advisory boards

Distributed to interest groups and organizations

10. Please answer the following questions about performance audits:

a. Does your county conduct performance *audits*?

☐ No

☒ Yes

b. If so, how many are conducted?

☐ Less than 1 per year

☐ 26 to 50 per year

☐ 1 to 5 per year

☐ 51 to 75 per year

☐ 6 to 10 per year

☐ 76 to 100 per year

☒ 10 to 25 per year

☐ More than 100 per year

c. Who conducts them?

☒ An independent external auditor who is hired

☒ An internal county auditor who is appointed by the county's legislative body

☐ An internal county auditor who is appointed by the chief administrator

☐ Individual departments

☒ Other (*Please specify:*

Research reports conducted by Office of Management and Budget analysts.

Sample reports are available at

[www.maricopa.gov/budget/Research\\_Reports/default.asp](http://www.maricopa.gov/budget/Research_Reports/default.asp)

- d. Which of the following are included in the performance audit process? (*Please check all that apply.*)
- ☒ Performance data verification
  - ☒ Review of strategic planning efforts
  - ☒ Evaluation of the extent to which the strategic plan has been implemented
  - ☒ Examination of work processes to identify opportunities to enhance efficiency
  - ☒ Review of the relevance of performance measures
- e. Do these audits generate recommendations for improving performance?
- ☐ No      ☒ Yes
- f. If so, how frequently are these recommendations implemented?
- ☒ Almost always
  - ☐ Very frequently
  - ☐ Sometimes
  - ☐ Rarely
  - ☐ Never

11. Please explain and provide specific examples of the ways by which your county ensures consistency between countywide strategic goals, department goals, program objectives, performance measures, and performance targets.

A number of key elements in Maricopa County's Managing for Results system ensure consistency and alignment between Countywide strategic goals, department goals, program objectives, performance measures and performance targets.

- a) The strategic planning process ensures alignment within each department's plan. Based on an environmental assessment, strategic issues are identified. Strategic goals and performance targets are established to address those strategic issues. Programs, Activities, and Services are articulated to ensure that strategic goals and performance targets can be addressed and achieved through established operations. A family of performance measures is established for each Activity beginning with a direct assessment of the efficacy of Results that customers receive.
- b) The four-phase Corporate Review process ensures the technical, structural, and contextual quality of each departmental plan. Inherent in this review process is an evaluation of department plans' internal consistency among goals, programs, performance measures and performance targets. The Review process culminates in a



meeting with a corporate-level committee. The committee offers a final review to ensure consistency between departmental missions, goals and programs with the Board of Supervisors' strategic direction and priorities. Additionally, emerging issues are identified and delineated as a reference tool for the Board of Supervisors during their strategic planning sessions.

c) Internal service departments crafted standardized Program purpose statements, Activity purpose statements, and performance measures for two key programs: Administrative Services and Information Technology. These comprehensive, standardized Programs are included within departmental plans and ensure consistent data collection, measurement, and reporting of key administrative functions, including human resources, risk management, budgeting and financial services, procurement, office of the director/elected official, and technology programs and activities.

d) The budgeting phase of the Managing for Results system requires demonstrated alignment between departmental funding requests and the Board of Supervisors' strategic priorities and the department's strategic plan.

12. Please describe how your county and individual departments ensure that that performance information is sufficiently complete, accurate, valid, and consistent.

A number of processes are incorporated throughout the Managing for Results cycle that are designed to ensure that performance information is sufficiently complete, accurate, valid, and consistent.

a) Strategic planning phase -- The strategic plan database includes data fields for departments to enter the data source and calculation formula for each performance measure. This strategy provides a prompt for departments to consider and document their measurement procedures. Throughout the four-stage review process, Office of Management and Budget analysts and the Corporate Review Committee review departmental strategic plans, including an assessment that proposed performance information provides complete and accurate data.

b) Training classes on data collection strategies are available to assist departments in identifying reliable methods to track and collect performance information.

c) Reporting phase -- Departments report performance data via the Managing for Results database. This strategy provides an efficient and timely vehicle to ensure that data is complete or to identify incomplete reporting.

d) Evaluating phase -- The Maricopa County Internal Audit Department reviews and reports on strategic plans and performance measures. The Internal Audit Department has established specific procedures to ensure that the performance information is sufficiently complete, accurate, valid, and consistent. The purpose of the Internal Audit

review and analysis is to provide some assurance to the users that reported data is accurate, and can be relied upon for decision-making purposes. Specifically, Internal Audit's objectives are to determine the accuracy of the data, assess the adequacy of procedures, provide assistance with problems, and report the results in an "Accountability Report" to citizens via the Board of Supervisors.

Internal Audit will perform the following procedures when auditing a department's measures: (1) select the areas to be reviewed; (2) review the calculations; (3) analyze the procedures; (4) test the source documents; (5) examine internal controls to determine if they ensure data integrity; and (6) report the results to the Board of Supervisors, citizens, the County Administrative Officer, Deputy County Administrator, Chief Officers or Elected Officials, and department directors.

Internal Audit will classify and report the audited performance measures under the following categories:

Certified -- Reported data is accurate within +/- five percent, and adequate procedures are in place

Certified with Qualifications -- Reported data appears accurate (+/- 5%); adequate procedures are not in place

Inaccurate -- Reported data is not within +/- five percent of actual performance

Could Not Certify -- Actual data could not be determined due to inadequate procedures or insufficient documentation

13. Please answer the following questions about performance information:

- a. To what extent do you agree with the following statements about the demand for performance information in your county?

	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Citizens have a high demand for performance information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The local news media have a high demand for performance information.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The county's legislative body has a high demand for performance information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The chief administrator's office has a high demand for performance information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Department managers have a high demand for performance information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

- b. To what extent do you agree with the following statements about the use of performance information in your county?

	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Performance information is frequently used by county legislators in making policy decisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Performance information is frequently used in making budget allocations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Performance information is frequently used by administrative officials in decision-making.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Performance information is frequently used to improve departmental processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Performance information is frequently used to reward managers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Performance information is frequently used to reward employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

- c. What opportunities are department heads given to explain poor performance and suggest ways to improve?

As described in response to Question 9.h., progress toward meeting performance targets (strategic goals) is included in quarterly reports submitted to the County Administrative Officer (see [www.maricopa.gov/qty\\_perf/default.asp](http://www.maricopa.gov/qty_perf/default.asp)), Deputy County Administrator or Chief Officer. The County Administrative Officer (CAO), Deputy County Administrator (DCA) and Chief Officers have regularly scheduled meetings with their direct reports; i.e., department directors and management staff. Progress toward performance targets/strategic goals is frequently discussed in these forums.

At least annually, the CAO, DCA and Chief Officers conduct formal performance evaluation discussions with each of their direct reports. Attainment of performance targets is discussed and documented. Unmet targets are reviewed, analyzed, and action plans are developed for the upcoming evaluation cycle.

The Corporate Review Team will also evaluate progress made against the prior year's plan, beginning with the second review cycle in Fall 2001/Winter 2002. Department Leadership will explain progress made, and why some goals may not have been achieved. This will become an annual review process.

14. Please answer the following questions about contracting out in your county:

- a. How often does your county use specific measures to systematically track the performance of public services that have been contracted out by your county?

☐ Always      ☒ Often      ☐ Sometimes      ☐ Rarely      ☐ Never

- b. How often are performance targets included in contracts for services that have been contracted out?

☐ Always      ☐ Often      ☒ Sometimes      ☐ Rarely      ☐ Never

- c. How often are financial rewards linked to the achievement of pre-set performance targets?

☐ Always      ☐ Often      ☒ Sometimes      ☐ Rarely      ☐ Never

- d. Does your county have a formal process for assessing the results of contracting out public services (for example, in terms of costs, policy outcomes, citizens satisfaction) relative to alternative ways of delivering services?

☐ No      ☒ Yes

If so, please describe this process and provide specific examples or documentation of how it works.

Maricopa County strives to be the lowest cost, highest quality provider of public services in Arizona. Strategic and pragmatic use of services available from the private, not-for-profit, and volunteer sectors are part of that strategy. County management will look first to a presumption of utilization where an active marketplace of services exists within any of the sectors. Where there are high levels of expertise and an active marketplace in the private sector, the county will look first to obtain services there. Where there is an inherent trust and highly sensitive

public policy issues, such as law enforcement, there will a presumption of looking to traditional public sector service delivery first. Wherever practical, a competitive process will be used to determine how services will be delivered.

The goal is to look at every service decision as a matter of sound business reasoning and public trust, recognizing the changeability of the marketplace. What served as a management solution for one period of time may not continue to be the management answer of the future. Improving management is a continuous process. Each contract renewal revisits the question of how best to provide services at the least cost with the highest quality. Factors of cost and quality determine the overall value provided to the public of services delivered.

The process of analysis must be objective and business decisions must be made in the interest of taxpayers, recipients of service, and those that pay fees for service. Inherent in these decisions is the use of performance measurement data. This includes not only the total comparative costs of various delivery methods for programs, but also the unit costs of individual services and customer satisfaction data as well.

The Board of Supervisors encourages county management in both appointed and elected departments to utilize this competitive analysis philosophy for the purpose of making continuous improvements to county operations. The Board of Supervisors approved this process on January 31, 2000.

15. How much does your county's existing information technology system contribute to your ability to collect and evaluate performance data? (*Check one.*)

- ☒ Very much  
☐ Somewhat  
☐ A little  
☐ Not much at all

16. Please describe any ways in which the information technology currently in place for performance measurement or monitoring either impedes or dramatically enhances your county's ability to manage for results.

Our existing technology systems significantly enhance our ability to collect and evaluate performance data. As there was no commercial software package available for

collecting, maintaining and analyzing MFR data, a custom-designed MFR Data Warehouse was developed and deployed on the County Intranet (Electronic Business Center). This system allows departments to document their strategic plans and to maintain their performance measurement estimates and results. The system also includes provisions to record and store specific efficiency measures to facilitate the evaluation and comparison of performance data by individual departments as well as from a County-wide perspective.

A. The MFR Data Warehouse serves multiple purposes by:

- 1) providing an opportunity for efficient information exchange and publishing;
- 2) enhancing management's visibility of performance data; and
- 3) providing flexibility to view data in various formats and combinations for effective evaluation. The custom system is used in addition to other existing methods of evaluating departmental budget performance based upon integrated data from the County Budget and Financial systems (Adaytum and Advantage).

The range of the MFR Data Warehouse is extensive. It collects and integrates strategic plan and performance data from the highest County-wide level down to the most detailed specifics of departmental operations. All strategic planning elements are present such as mission, vision and goals – both for the County as a whole and those specific to the owning agency. A second tier of management information relates to the Programs/Activities/Services that a department performs, as dictated by its strategic plan. Most programs are department-specific, however the system also has the ability to collect standard data on programs that are common to many or all agencies. This feature allows common programs to be evaluated and compared “apples to apples” across departmental boundaries. The most detailed data captured by the system are specific performance measures related to each activity. The MFR Data Warehouse includes provisions for entering and maintaining result, output, demand and efficiency measures. System users can specify as many performance measures as they deem necessary of the above measure types. To capture the time element, there are twelve different time dimension “containers” for each measure. Using these fields, historical, quarterly, year-to-date, and projected future measures can be captured and analyzed.

B. Finance-related:

Maricopa County has always measured budget performance at the “traditional” cost centers, such as fund, department and division, through our current general ledger and reporting system. However, system reporting limitations have not supported the utilization of cost accounting data within the general ledger system at an optimal level.

During FY2000-01, we completed three significant steps towards enhancing our ability to collect and report this information. First, we successfully completed the conversion of the Advantage financial system to a relational database foundation (IBM DB2). Second, we have successfully secured a new financial reporting tool that will: a) allow us to

effectively report costs at Program/Activity/Service performance levels; and b) dramatically enhance our ability to analyze and report financial information for traditional cost centers. Third, we have successfully tested the general ledger system's ability to manage this new data source. The collection of costing data at the Program/Activity/Service levels will be rolled out to all departments beginning July 2001.

### C. HR-related

The following systems either now provide, or will soon provide enhanced MFR capability for Human Resources:

- 1) Beginning in July 2001, the E-Jamis electronic timecard system will be extended County-wide to track time at a more detailed Program/Activity/Service level. This system, which will directly interface with our HR payroll/personnel system, will provide greater accuracy in tracking and reporting personnel costs at the program, activity, and service levels.
- 2) The Registrar classroom management system has recently been converted to a web-enabled Learning Management System. This system is integrated with HRMS and is used to track all centrally sponsored training and tuition reimbursements. It is also used by more than 15 departments to track their department specific training.
- 3) The Personnel Data Systems' (PDS) Employee Benefits System was recently implemented to allow expansion and management of niche benefit opportunities for employees.
- 4) A number of management reports are now utilized in workforce measurement and planning. These include: employee turnover activity; potential retirement dates for workforce planning; performance evaluation dates and ratings; and performance plan completion dates.
- 5) Many different ways of electronically communicating reports have been developed to allow agencies to view or download data for analysis functions. These methods include Report.Web (on our Intranet) and Crystal Reports (to create ad hoc reports or view standard reports).
- 6) We are currently developing a new, major subsystem within the MFR Data Warehouse to collect and utilize data related to the County's organization portfolio. This subsystem will fully automate: organization charts, position information, job title, job family, compensation, and history. This information, which will be integrated with the other administrative systems, will greatly enhance HR reporting and analysis capability.
- 7) Other specific areas targeted for automated system enhancement include: Personnel Agenda processing, new hire processing, applicant tracking, and workers compensation/case management.

#### D. Budget-related

We are completing the first full year of implementation of our latest budget development system, Adaytum. Beginning with budget development for FY 2002-03, departments will be able to budget by program using the new Program/Activity/Service codes that have been established in the financial system (in alignment with departments' strategic plans). Eventually, the system will facilitate budget development from performance measures. The system also has "e-budgeting" capability, through which we will be able to broaden access to budget and financial planning information.

17. Please describe the most significant problems or challenges you believe your county faces with respect to managing for results.

The diversity and scope of Maricopa County departments' missions offer unique and dynamic opportunities to create and maintain an integrated Managing for Results system. The system requires sufficient standardization to provide consistent planning, budgeting/financial management, and evaluation data across the County while ensuring an appropriate level of flexibility to accommodate the myriad needs of distinct programs, activities and services provided by Maricopa County, including those of elected departments and the judiciary. Since Maricopa County has appointed, elected, and judicial departments, utilization of a standardized system has been challenging. However, in fiscal year 2000-01, we did receive 100% participation.

The number of employees and the geographically disperse nature of Maricopa County service sites also has created challenges. These factors prompted the establishment of creative deployment and communication strategies. Establishing Strategic Coordinators to serve as the focal point for the Managing for Results system facilitates the active understanding and enthusiastic support of leaders, both appointed and elected. Similarly, the four-phase Corporate Review Process enhances the quality and consistency of plans, supports the use of common terminology across the organization, and provides a vehicle for each department to tell their story and raise issues to the level of the Board of Supervisors.

Keeping the momentum to "Manage for Results" will be challenging in the years ahead. County Administration will have to continue to demonstrate the need and use of performance data, in order to have all County departments and employees remain committed to this new paradigm. The Board of Supervisors' continued support is imperative to a successful program.



18. Please describe any unique or innovative approaches to managing for results your county has recently implemented. In particular, describe any mechanisms your county uses to promote proactive problem-solving or to respond to emerging issues (such as recent concern with election reform).

Maricopa County's Managing for Results integrated system offers a variety of innovative features:

- a) The identification of and provision of comprehensive training to a core group of Strategic Coordinators (representing each County, Elected and Court department) to serve as a focal point and communication channel;
- b) The four-level Corporate Review process of each departmental plan. The composition of the Strategic Plan Corporate Review Committee is especially innovative and effective. The Committee is comprised of five core members -- the Deputy County Administrator, Budget Manager, Human Resources Director, Chief Financial Officer, and the Performance Measurement Auditor from the Internal Audit Department. In addition to these core members, County business representatives from specialized Elected Official offices, Court agencies, Criminal Justice, Health, Community Services, and Public Works serve on the Committee. This top-managerial leadership group offers an impressive breadth of knowledge, expertise and insight to the review process and ensures that individual departmental plans consistently align with Maricopa County's overall strategic direction;
- c) The Program, Activity, Service (PAS) cost accounting structure drawn directly from departmental strategic planning documents and the E-Jamis timekeeping system. These financial reporting systems allow departments to track expenditures at the Service, Activity and Program level, to calculate efficiency measurements, and to engage in program budgeting; and
- d) A web-based strategic plan development and reporting system.

In addition to the above, individual departments have developed unique and/or innovative approaches to managing for results. The following are a few such approaches implemented by Maricopa County:

- a) The Internal Audit Department hosts various Self-Assessment Workshops that have been effective in educating employees about key controls that should exist in their functions, in addition to having them identify and correct any existing weaknesses. For example, the Cash Handling Workshop, which is in its second successful year, enables employees to design, implement, and maintain an effective cash handling system. This workshop has been recognized by the National Association of Local Government Auditors and is slated to receive their Special Projects Award for the year 2000. Internal Audit's newest workshop, the Contract Management Workshop, provides education and

information to assist departments in developing an effective contract management system. The participant guides for the training sessions are included as Attachments MFR-18-1 and MFR-18-2. These approaches are successful because they involve a team effort between Internal Audit and management.

b) Another innovative approach utilized by the Internal Audit Department is the “Got Controls?” Management Control Bulletin. The bulletin, which is circulated monthly, is used to educate executive management on emerging control issues developing throughout the County. Sample issues of the bulletins are included as Attachment MFR-18-3. This proactive process stresses education and teamwork to effectively solve current problems.

c) The Maricopa County Department of Transportation (MCDOT) developed BEECN, or “Benchmarking, Effectiveness and Efficiency, the County Norm”, a system designed to assure the highest levels of performance. Specifically, BEECN is a proactive system that offers guidance in determining the best method to provide services from a full spectrum of possibilities. A comprehensive, step-by-step assessment gives the owning work group a plan for action that assures the best value in a competitive and collaborative environment among public sector peers and private sector service providers. This method allows each department to discern the ideal combination of possibilities, which in turn results in the best value to the customers. An informational brochure about BEECN is included as Attachment MFR-18-4.

d) MCDOT also participates in the Entente Program, a collaborate agreement to exchange maintenance services between Maricopa County and Yuma County. This intergovernmental agreement is designed to provide the traveling public with a more seamless transportation system via a cooperative highway maintenance program. The Entente Program looks beyond jurisdictional and geographical boundaries and instead focuses on the maintenance task and availability of the most economical resources. Attachment MFR-18-5 is a copy of the intergovernmental agreement that documents the program.

Proactive problem-solving and the capacity to respond to emerging issues are facilitated by system elements, such as:

a) The creation of Countywide Administrative Services and Information Technology (IT) Programs. The standardized data allows County leadership to detect emerging administrative trends. The disaggregated data included within each department's plan allows for benchmarking across departments and the capacity to recognize and emulate best practices.

b) Quarterly reporting of performance measures data and monthly web-based financial reporting provide early warning systems to detect unanticipated emerging trends and proactive problem-solving. The annual review and update of strategic plans also facilitates analysis, decision-making, and responsiveness.

c) The review of each plan at a corporate level contributes to a consolidated response to Countywide issues and cooperative inter-departmental problem-solving. For example, Maricopa County's "One Stop Shop" permitting process requires teamwork across five different departments. The Managing for Results system enhances these departments' capacity to plan, track data, provide results to customers, report results, and engage in integrated decision-making.

d) McJustice is an interoffice committee that meets monthly to share information and to coordinate solutions to emerging criminal justice issues. The group includes the Presiding Judge of Superior Court in Maricopa County, the Elected County Attorney, the Public Defender, a representative from Justice Court Administration, the Adult Probation Director, the Presiding Judge of the Juvenile Court, the County Administrative Officer, and others as needed. Often time, representatives from other local governments attend as well.

This is a highly collaborative group that has and will continue to work on integrated solutions to justice services. Some accomplishments to date include a Productivity Improvement Study of the Maricopa County Public Defender's Office (Attachment MFR-18-6), a Regional Crime Prevention Initiative (Attachment MFR-18-7), and a Monthly Performance Report (Attachment MFR-18-8) which reports various performance measures and statistics of the McJustice Community.

*Thank you for your valuable assistance in providing this information.*

**Please provide the names, contact telephone numbers, and email addresses for those who completed this section of the survey:**

Name: David R. Smith Job Title: County  
Administrative Officer

Phone: 602.506.3572 Email: DSmith@mail.maricopa.gov

Name: Sandi Wilson Job Title: Deputy County  
Administrator

Phone: 602.506.2623 Email: SWilson@mail.maricopa.gov

Name: Helen Dusick Job Title: Management & Budget  
Coordinator

Phone: 602.506.3756 Email: HDusick@mail.maricopa.gov

*As you know, Governing magazine will follow up with interviews on the topics covered in this survey. To make sure that the proper people are interviewed, please provide suggestions and contact numbers below.*

**Who would you recommend that we contact for interviews about strategic planning?**

Name: Sandi Wilson Job Title: Deputy County  
Administrator

Phone: 602.506.2623 Email: SWilson@mail.maricopa.gov

Name: Helen Dusick Job Title: Management & Budget  
Coordinator

Phone: 602.506.3756 Email: HDusick@mail.maricopa.gov

**Who would you recommend that we contact for interviews about performance measurement?**

Name: Helen Dusick Job Title: Management & Budget  
Coordinator

Phone: 602.506.3756 Email: HDusick@mail.maricopa.gov

Name: Don Colvin Job Title: Management & Budget  
Coordinator

Phone: 602.506.2385 Email: DColvin@mail.maricopa.gov  
\_\_\_\_\_

**Who would you recommend that we contact for interviews about performance audits?**

Name: Ross Tate Job Title: Internal Auditor  
\_\_\_\_\_

Phone: 602.506.1588 Email: RTate@mail.maricopa.gov  
\_\_\_\_\_

Name: John Schulz Job Title: Performance Measurement  
Auditor

Phone: 602.506.1777 Email: jschulz@mail.maricopa.gov

Who would you recommend that we contact for interviews about Budgeting for Results?

Name: Chris Bradley Job Title: Budget Manager

Phone: 602.506.4960 Email: CBradley@mail.maricopa.gov  
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